

APPENDIX A: FHWA Gap Analysis Matrix

SAFETEA-LU Transportation Planning and Programming Requirements (as amended by SAFETEA-LU Sections 3005, 3006, and 6001)

Statutory Planning and Programming Requirements	Key Changes Between ISTE/TEA-21 and SAFETEA-LU	Potential SAFETEA-LU “Closing the Gap” Steps
UPDATE CYCLES <ul style="list-style-type: none"> Long-range statewide transportation plans [23 U.S.C. 135/49 U.S.C. 5304(f)(1)] Metropolitan transportation plans [23 U.S.C. 134/49 U.S.C. 5303(i)(1)] TIPs and STIPs [23 U.S.C. 134/49 U.S.C. 5303(j)(1)(D) and 23 U.S.C. 135/49 U.S.C. 5304(g)(1)] 	Long-range statewide transportation plan <ul style="list-style-type: none"> No key change in update cycle (as needed or appropriate). 	<ul style="list-style-type: none"> State DOT should review and/or establish a regular update cycle.
	Metropolitan transportation plans in air quality nonattainment and maintenance areas <ul style="list-style-type: none"> To be updated every four years (as opposed to the former requirement of every three years). 	<ul style="list-style-type: none"> This SAFETEA-LU provision took effect on August 10, 2005. MPOs in nonattainment and maintenance areas should be reviewing and revising the update cycles for the metropolitan transportation plans.
	Metropolitan transportation plans in air quality attainment areas <ul style="list-style-type: none"> No key change (to be updated every five years). 	<ul style="list-style-type: none"> No additional steps for update cycles are likely necessary for MPOs in attainment areas.
	Transportation Improvement Program (TIP) <ul style="list-style-type: none"> To be updated every four years (as opposed to the former requirement of every two years). Span of TIP increased from 3 to 4 years 	<ul style="list-style-type: none"> Develop an approvable TIP with projects/project phases covering four years.
	Statewide Transportation Improvement Program (STIP) <ul style="list-style-type: none"> To be updated every four years or more frequent if Governor so elects (as opposed to the former requirement of every two years). Span of STIP increased from 3 to 4 years 	<ul style="list-style-type: none"> Develop an approvable STIP with projects/project phases covering four years.
ANNUAL LISTING OF PROJECTS [23 U.S.C. 134/49 U.S.C. 5303(j)(7)(B) and 23 U.S.C. 135/49 U.S.C. 5304(g)(4)(B)]	<ul style="list-style-type: none"> New project element to be specifically included (pedestrian walkways and bicycle transportation facilities). 	<ul style="list-style-type: none"> MPO (with State(s) and public transportation operator(s)) should review existing process for developing the Annual Listing. Publish list identifying all bicycle/pedestrian projects for which Federal funds were obligated in the preceding program year.
	<ul style="list-style-type: none"> Added requirement for cooperative development by MPO partners (i.e., State and public transportation operators). 	

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<p>METROPOLITAN AND STATEWIDE TRANSPORTATION PLANNING FACTORS</p> <p>[23 U.S.C. 134/49 U.S.C. 5303(h)(1) and 23 U.S.C. 135/49 U.S.C. 5304(d)(1)]</p>	<p>◆ Added a new stand-alone factor “increase the safety of the transportation system for motorized and non-motorized users.”</p>	<ul style="list-style-type: none"> • Review current safety goals, objectives, performance measures, and strategies. • Ensure that adequate safety data are available to support development of a safety element in statewide and metropolitan transportation plans. • Ensure outreach to and input from safety stakeholders. • Incorporate the SHSP element into statewide and metropolitan transportation plans (for metropolitan transportation plans, use the portion of the SHSP related to the MPO region). • Incorporate the transit System Safety Program Plan (if available) into statewide and metropolitan transportation plans. • Review TIP/STIP project selection criteria to ensure they reflect safety priorities (e.g., SHSP and/or MPO region’s priorities).

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	<ul style="list-style-type: none"> ◆ Added a new stand-alone factor "increase the security of the transportation system for motorized and non-motorized users." 	<ul style="list-style-type: none"> • Review current statewide and metropolitan transportation plans for emergency planning/security elements. • Incorporate the transit System Security Program Plan (required for rail systems) into statewide and metropolitan transportation plans. • Define the role of the public transportation operators/MPO/State in promoting security (e.g., review State/local legislation for roles and responsibilities). • Identify critical facilities and transportation system elements (e.g., transit system, rails, ports, Interstate system, NHS routes, and STRAHNET routes). • Develop security goals and appropriate strategies (this may be an important role for MPOs and/or States that are near or on the Mexico/Canada borders).
	<ul style="list-style-type: none"> ◆ Expanded the environmental factor by adding the phrase "promote consistency of transportation plan and transportation improvements with State and local planned growth and economic development patterns." 	<ul style="list-style-type: none"> • MPOs/State DOTs review current process to coordinate transportation and land use/economic development planning. • Where needed, consider methods to improve or expand coordination. • Identify implementation timeframes. • Include appropriate activities in statewide/metropolitan transportation planning work programs, as well as in MPO Participation Plans.

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FISCAL CONSTRAINT [23 U.S.C. 134/49 U.S.C. 5303(i)(2)(C); (j)(1)(C); (j)(2)(B); and (j)(3)(D) and 23 U.S.C. 135/49 U.S.C. 5304(f)(5); (g)(4)(E); and (g)(4)(F)]	<ul style="list-style-type: none"> ◆ No significant changes in SAFETEA-LU. 	<ul style="list-style-type: none"> • Review and reaffirm fiscal constraint of transportation plans and programs as they are updated or amended. • Confirm revenues and costs related to system operations and maintenance activities covered in transportation plans and programs. <p><i>Refer to the FHWA/FTA Interim Guidance on Fiscal Constraint of Transportation Plans and Programs (http://www.fhwa.dot.gov/planning/fcindex.htm or www.fta.dot.gov → Grant Programs → Transportation Planning & Environment → Statewide & Metropolitan Planning)</i></p>
ENVIRONMENTAL MITIGATION ACTIVITIES [23 U.S.C. 134/49 U.S.C. 5303(i)(2)(B) and 23 U.S.C. 135/49 U.S.C. 5304(f)(4)]	<ul style="list-style-type: none"> ◆ Metropolitan and statewide transportation plans shall include “discussion” of environmental mitigation activities. ◆ This “discussion” shall be developed with Federal, State, and Tribal wildlife, land management, and regulatory agencies. 	<ul style="list-style-type: none"> • Metropolitan and statewide transportation plans must include a generalized discussion of potential mitigation activities (at the policy/strategy-level, not project-specific). • Compare transportation plans with available State conservation plans, maps, and inventories.

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<p>CONSULTATION AND COOPERATION</p> <ul style="list-style-type: none"> ▪ Transportation Plans [23 U.S.C. 134/49 U.S.C. 5303(g) and (i)(4) and 23 U.S.C. 135/49 U.S.C. 5304(f)(2)] ▪ TIP and STIP [23 U.S.C. 134/49 U.S.C. 5303(j)(1)(C) and 23 U.S.C. 135/49 U.S.C. 5304(g)(2)] ▪ Land Use Management and other Resource Agencies [23 U.S.C. 134/49 U.S.C. 5303(i)(4) and 23 U.S.C. 135/49 U.S.C. 5304(f)(2)(D)] 	<ul style="list-style-type: none"> ◆ Consultation with non-metropolitan local officials and Tribal governments in the development of the long-range statewide transportation plan and STIP. ◆ MPOs and State DOTs shall consult with local/State land use management, natural resource, historic and other agencies in the development of transportation plans. 	<ul style="list-style-type: none"> • Continuing consultation with partners (i.e., State, MPOs, non-metropolitan local officials, and Tribal government) [no change]. • Compare transportation plans with available conservation plans and maps and/or compare with available inventories of historic or natural resources.
<p>AIR QUALITY⁴ CONFORMITY</p> <p>[23 U.S.C. 134(i)(3)]</p>	<ul style="list-style-type: none"> ◆ Requirement to determine conformity is now every four years (instead of every three years). ◆ Allowance of a 1 year "grace period" before conformity lapse (in certain instances) 	

⁴ Section 6011 of SAFETEA-LU contained other transportation conformity provisions. USDOT and USEPA issued joint "Interim Guidance for Implementing the Transportation Conformity Provisions in the SAFETEA-LU" on February 14, 2006. The Interim guidance is available at: <http://www.fhwa.dot.gov/environment/conformity/sec6011guidmemo.htm>

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PUBLIC TRANSIT ELEMENT	<ul style="list-style-type: none"> ◆ Coordinated Public Transit-Human Services Transportation Plan (per 49 U.S.C. 5310, 5316, and 5317). 	<ul style="list-style-type: none"> • Entity responsible for developing the Coordinated Public Transit-Human Services Transportation Plan is not defined in SAFETEA-LU. • Solicitation for projects from plan to be done in cooperation with MPO
TRANSPORTATION FACILITIES [23 U.S.C. 134/49 U.S.C. 5303(i)(2)(D); 23 U.S.C. 134/49 U.S.C. 5303(k)(3); 23 U.S.C. 135/49 U.S.C. 5304(f)(7); and 23 U.S.C. 135/49 U.S.C. 5304(i)]	<ul style="list-style-type: none"> ◆ Operations and management strategies in metropolitan transportation plans and long-range statewide transportation plans. 	<ul style="list-style-type: none"> • Determine if the current transportation plan adequately address operations and management strategies (for both the transit and highway network). • Develop/confirm performance measures for the transportation system operations and management, with the focus on mobility and safety. • Consider and develop strategies and costs (capital and operational investment) to preserve the existing transportation system.
	<ul style="list-style-type: none"> ◆ Congestion Management Process in Transportation Management Areas (formerly known as Congestion Management System (CMS) in ISTEA/TEA-21). 	<ul style="list-style-type: none"> • Review the existing CMS and its application within the TMA planning process and the metropolitan transportation plan(s). • Review State laws, rules, and regulations to ensure consistency with the SAFETEA-LU revised statutory language on the Congestion Management Process. • Identify operations partners (e.g., traffic operations centers, ITS, and traffic engineers). • Identify travel demand reduction and operation management strategies to be implemented. • Work with partners to develop projects, priorities and schedule for implementation.

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<p>INTERESTED PARTIES AND PARTICIPATION [23 U.S.C. 134/49 U.S.C. 5303(i)(5), (i)(6), and (j)(4) and 23 U.S.C. 135/49 U.S.C. 5304 (f)(3) and (g)(3)]</p>	<ul style="list-style-type: none"> ◆ Definition of “interested parties” to be engaged in statewide and metropolitan transportation planning has been expanded. ◆ Participation Plan (required for MPOs) <ul style="list-style-type: none"> - Shall be developed in consultation with “interested parties.” - Publish or make available for public view transportation plans, STIPs and TIPs. - Hold public meetings at convenient and accessible times and locations. ◆ Publication of statewide and metropolitan transportation plans, and TIP... to the maximum extent practicable. <ul style="list-style-type: none"> - Make information available in electronically accessible formats (e.g., world wide web). ◆ Employ visualization techniques to depict statewide and metropolitan transportation plans. 	<ul style="list-style-type: none"> • State DOTs and MPOs should review current public involvement plan/procedures and make necessary changes to reflect SAFETEA-LU provisions. • Confirm that stakeholders, interest groups, general public had/have opportunity to comment on public involvement plans and transportation plans/programs. • Where not apparent, give groups/general public opportunity to review/comment; update or amend participation plan, as needed. • To maximum extent practicable, statewide and metropolitan transportation plans and programs (with the exception of the STIP) shall be available in electronic formats (e.g., on a website). • Refer to FHWA Scenario Planning website or Land Use/Transportation Tool Kit (add web links) for examples of visualization techniques.
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